



STATE OF INDIANA

Request for Proposals 10-92

INDIANA DEPARTMENT OF ADMINISTRATION

On Behalf Of

The Family and Social Services Administration

Solicitation For:

Maintenance and Support Services

Response Due Date: **August 11, 2010**

Stephanie Taylor, Senior Account Manager
Indiana Department of Administration
Procurement Division
402 W. Washington St., Room W478
Indianapolis, IN 46204

RFP-10-92

SECTION ONE

GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES

1.1 INTRODUCTION

In accordance with Indiana statute, including IC 5-22-9, the Indiana Department of Administration (IDOA), acting on behalf of the Family and Social Services Administration (FSSA), is seeking to contract with qualified vendor(s) to provide assistance with Maintenance and Support for all systems supporting the Division of Disability and Rehabilitative Services (DDRS), the Division of Mental Health (DMHA), and the Division of Aging (DA). It is the intent of IDOA to solicit responses to this Request for Proposals (RFP) in accordance with the statement of work, proposal preparation section, and specifications contained in this document. This RFP is being posted to the IDOA website (<http://www.IN.gov/idoa/2354.htm>) for downloading. A nominal fee will be charged for providing hard copies. Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

1.2 DEFINITIONS AND ABBREVIATIONS

Following are explanations of terms and abbreviations appearing throughout this RFP. Other special terms may be used in the RFP, but they are more localized and defined where they appear, rather than in the following list.

AAA	Area Agency on Aging
ACCM	Applicant's Assessment for Combined Case Management
A&D	Aged and Disabled
APRA	Access to Public Records Act
AU	Autism Waiver
BAFO	Best and Final Offer
BDDS	Bureau of Disability Determination Services
BQIS	Bureau of Quality Improvement Services
Budget	
Allocation	Objective Assessment System for Individual Supports
CANS	Child and Adolescent Needs and Strengths
CA-PRTF	Community Alternatives to Psychiatric Residential Treatment Facilities
Care Areas	Business Units within FSSA
CCB	Cost Comparison Budget
CIO	Chief Information Officer
CFO	Chief Financial Officer
CHOICE	Community and Home Options to Institutional Care for Elderly and Disabled
CM	Case Management

CMS	Claims Management System
COTS	Commercial Off-The-Shelf
CPTMT	Comprehensive Post Transition Monitoring Tool
CST	Comprehensive Survey Tool
DA	Division of Aging
DART	Developmental Disabilities Automated Resource Tool
DD	Developmental Disabilities
DD (waiver)	Developmental Disabilities Waiver
DR	Disaster Recovery
DDRS	Division of Disability and Rehabilitative Services
DDP	Developmental Disabilities Profile
DMHA	Division of Mental Health and Addiction
DOR	Department of Revenue
DTS	Division of Technology Services
DWD	Department of Workforce Development
EDS	Electronic Data Systems (Hewlett Packard)
FSSA	Family and Social Services Administration
Full Time Equivalent (FTE)	The State defines FTE as a measurement of an employee's productivity on a specific project or contract. An FTE of 1 would mean that there is one worker fully engaged on a project. If there are two employees each spending 1/2 of their working time on a project that would also equal 1 FTE.
FTP	File Transfer Protocol
HIPAA	Health Insurance Portability and Accountability Act
IAC	Indiana Administrative Code
IBT	Interactive Budget Tool
IC	The Indiana Code
ICAP	Inventory for Clients and Agency Planning
ICMS	Integrated Case Management System
IDEC	Indiana Diagnostic Evaluation Corporation
IDOA	Indiana Department of Administration
IFUR	Incident Follow-up and Reporting
Indiana AIM	Indiana Advanced Information Management
INsite	Case Management tool used by multiple departments within FSSA.
Installation	The delivery and physical setup of products or services requested in this RFP.
IOT	Indiana Office of Technology

IPMG	Indiana Professional Management Group
IRis (AAA)	Information and Referral Information System
IRIS (VR)	Vocational Rehabilitation Case Management system.
ISP	Individualized Support Plan
LOC	Level of Care
MBE	Minority Business Enterprises
MMIS	Medicaid Management Information Systems
MWBED	Minority & Women's Business Enterprise Division
NAPIS	National Aging Program Information System
OBRA	Omnibus Budget Reconciliation Act of 1987
Other Governmental	
Body	An agency, a board, a branch, a bureau, a commission, a council, a department, an institution, an office, or another establishment of any of the following: <ul style="list-style-type: none"> (1) The judicial branch. (2) The legislative branch. (3) A political subdivision (includes towns, cities, local governments, etc.) (4) A state educational institution (including charter schools)
PAS	Pre-Admission Screening
PASRR	Pre-Admission Screening Resident Review
PCP	Person Centered Plan
PMBOK	Project Management Body of Knowledge
Products	Tangible goods or manufactured items as specified in this RFP.
Proposal	An offer as defined in IC 5-22-2-17.
PRTF (waiver)	Psychiatric Residential Treatment Facility
Respondent	An offeror as defined in IC 5-22-2-18. The State will not consider a proposal responsive if two or more offerors submit a joint or combined proposal. One entity or individual must be clearly identified as the Respondent who will be ultimately responsible for performance of the contract.
RFA	Request for Approval
QA	Quality Assurance
QIP	Quality Improvement Process
SDLC	Systems Development Life Cycle
Services	Work to be performed as specified in this RFP.
SSW	Support Services Waiver
State	The State of Indiana

State Agency	As defined in IC 4-13-1, “state agency” means an authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative, department of state government.
STMS	Survey Tool Management System
RDT	Resource Determination Tool
TBI (waiver)	Traumatic Brain Injury waiver
UAT	User Acceptance Testing
Vendor	Any successful Respondent selected as a result of the procurement process to deliver the products or services requested by this RFP.
WBE	Women Business Enterprises

1.3 PURPOSE OF THE RFP

The purpose of this RFP is to provide the State with access to qualified vendor(s) who can provide Maintenance and Support services for the DART, DDRS Provider Website, INsite, PAS-PASRR and STMS. It should be noted that these systems are primarily non-COTS in nature.

1.4 SUMMARY SCOPE OF WORK

Many of the services provided to the citizens of the State of Indiana by FSSA are supported by the DART and INsite systems and related ancillary systems and interfaces. FSSA is seeking the services of a qualified Vendor to provide the primary Maintenance and Support of these systems as described in Section 2.4.

Providing Maintenance and Support relates to ensuring that the daily operations of the Business Units proceed with minimal interruption. All systems require maintenance to ensure continuity. Additionally, Maintenance and Support requires ensuring that all systems comply with current Federal and State policies. Supporting these business operations involves, but is not limited to the activities listed below.

1.4.1 Maintenance:

- Defect resolution
 - Critical/Non-critical
 - Data integrity/loss
 - Report accuracy
 - Security
 - Invalid/Improper functionality
 - Requirements not met
 - Application not functioning
 - IOT updates
 - Network issues
 - Server issues
 - System coupling issues

- Unit Testing
- Database maintenance
- Scheduled task maintenance
- Report changes mandated by Federal and State policy
- Standard and Ad-Hoc reporting
- Modifications to support peripheral system changes
- Run-Time Improvement (RTI)
- Code Stability and Reuse
- Code standardization
- Data migration issues
- Unlock user accounts(at the direction of the State)
- IOT requirements
- System documentation
- Help Desk Troubleshooting
- Monitor error logs
- Monitor automated routines
- Monitor accuracy of automated routine outputs
- Federal and State policy change management
- User training
- Issue research and resolution
- Support of Business functions

1.4.2 Helpdesk Support

Vendor agrees to utilize the State adopted tool (currently the IBM Rational Tool ClearQuest) to track system related issues. The following is a representative, though not exhaustive list of the major categories of Help Desk activities to be performed by the selected Vendor:

- Function as primary point of contact for DDRS, DMHA and DA.
- When issues are reported related to internal and external tools, systems, applications and networks:
 - Refer issues to appropriate persons or entities
 - Log issues into IBM ClearQuest
 - Conduct preliminary troubleshooting
 - Replicate issues as appropriate for verification
 - Resolve issues as appropriate
 - Escalate issues as appropriate
 - Track issue resolutions
 - Test resolutions as requested
 - Interface with IOT for assistance as needed

- Process requests related to Security for the following applications:
 - Account creations
 - Password resets
 - Criminal Background checks
 - Training requests
 - System access rights
- Receive equipment requests and route them to IOT
- Work with FSSA Communications staff to support electronic forms and notifications
 - SharePoint
 - InfoPath
- Provide installation services for applications
- Maintain installation instructions for field applications
- Provide user training on the issues submission process
- Route requests for ad-hoc reporting services (or report creation) to appropriate personnel
- Assist with application testing as needed
- Communicate existence and resolution of known issues to user groups

Numerous areas and programs within the FSSA rely upon the Help Desk and Development Team for support. Below is a representative, though not exhaustive, list of these areas and programs.

- Adult Protective Services (APS) - (DA)
- Case management (DA)
- CHOICE (DA)
- DART - (DA/DDRS)
- Incident and Follow Up - (DA/DDRS)
- INsite - (DA/DDRS/DMHA)
- Indiana Office of Technology (IOT)
- IPMG (DD) support
- BUDGET ALLOCATION - (DDRS)
- Money Follows the Person (MFP) - (DA)
- Pre-Admission Screening - (DA)
- Pre-Admission Screening Resident Review PASRR - (DA)
- Survey Tool Management System (STMS) – (DA/DDRS)
- Targeting - (DA/DDRS)
- Waiver/Slot Issues - (DA/DDRS/DMHA)
- Web Based Tools for Providers
- ClearQuest (CQ)

1.4.3 Mandatory Change Request Management

The State has implemented a process to manage change requests from inception to resolution. The State utilizes IBM ClearQuest in conjunction with IBM Requisite Pro as well as IBM ClearCase to accomplish this management. Change request tracking and the ability to report on project estimated and actual hours and costs must be made available on a daily basis. The selected Vendor will be expected to comply with the use of the FSSA Change Request Process, and will be expected to develop estimates for the Change Requests and provide those estimates to the State for review. Compliance with this process may require meeting attendance.

1.4.4 Minor Modification.

Minor Modifications are defined as those changes which encompass modifications to supported systems and/or supporting modifications to ancillary systems and are considered to be a part of Maintenance and Support. Minor Modifications are submitted via the Change Request (CR) system for documentation purposes. When a CR is received that is requesting a modification to a supported system, the selected Vendor is responsible for analyzing the request and providing an estimate for completing the work.

1.4.5 Major Modifications.

Major Modifications are also considered to be within the scope of this RFP, but outside the scope of Maintenance and Support. Major Modifications are considered to be changes that require major code work or modify the primary function of either supported systems or ancillary systems. Following a CR determination that a Major Modification is appropriate, FSSA will request the selected Vendor to prepare and submit a Time and Material bid. Bid negotiations may take place and a contract amendment may be determined to be necessary.

1.5 RFP OUTLINE

The outline of this RFP document is described below:

Table 1. RFP Overview

Section	Description
Section 1 – General Information and Requested Products or Services	This section provides an overview of the RFP, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this RFP
Section 2 – Proposal Preparation Instruction	This section provides instructions on the format and content of the RFP including a Letter of Transmittal, Business Proposal, Technical Proposal, and a Cost Proposal
Section 3 – Proposal	This sections discusses the evaluation criteria to be used to

Section	Description
Evaluation Criteria	evaluate respondents' proposals
Attachment A	M/WBE Participation Plan Form
Attachment B	Sample Contract
Attachment C	Indiana Economic Impact Form
Attachment D	Business Proposal Response Template
Attachment E	Technical Proposal Response Template
Attachment F	Cost Proposal Response Template
Attachment G	Bidder's Library

1.6 QUESTION/INQUIRY PROCESS

All questions/inquiries regarding this RFP must be submitted in writing by the deadline of **3:00 p.m. Eastern Time on June 30, 2010**. Questions/Inquiries may be submitted via fax (**317-232-7312**) or email rfp@idoa.IN.gov and must be received by Procurement Division by the time and date indicated above.

Following the question/inquiry due date, Procurement Division personnel will compile a list of the questions/inquiries submitted by all Respondents. The responses will be posted to the IDOA website according to the RFP timetable established in Section 1.23. The question/inquiry and answer link will become active after responses to all questions have been compiled. Only answers posted on the IDOA website will be considered official and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee.

Inquiries are not to be directed to any staff member of FSSA. Such action may disqualify Respondent from further consideration for a contract resulting from this RFP.

If it becomes necessary to revise any part of this RFP, or if additional information is necessary for a clearer interpretation of provisions of this RFP prior to the due date for proposals, an addendum will be posted on the IDOA website. If such addenda issuance is necessary, the Procurement Division may extend the due date and time of proposals to accommodate such additional information requirements, if required.

1.7 DUE DATE FOR PROPOSALS

All proposals must be received at the address below by the Procurement Division no later than **3:00 p.m. Eastern Time on August 11, 2010**. Each Respondent must submit **one original hard-copy** (marked "Original") and **one original CD-ROM (marked "Original")** and seven (7) complete copies **on a CD-ROM** of the proposal, including the Transmittal Letter and other related documentation as required in this RFP. The **original** CD-ROM will be considered the official response in evaluating responses for

scoring and protest resolution. **The respondent's proposal response on this CD may be posted on the IDOA website, (<http://www.in.gov/idoa/2462.htm>) if recommended for selection.** Each copy of the proposal must follow the format indicated in Section Two of this document. The proposal shall be prepared with a minimum font size of ten (10) and be limited to one hundred and fifty (150) pages. Unnecessarily elaborate brochures or other presentations, beyond those necessary to present a complete and effective proposal, are not desired. All proposals must be addressed to:

Stephanie Taylor
Indiana Department of Administration
Procurement Division
402 West Washington Street, Room W478
Indianapolis, IN 46204

If you hand-deliver solicitation responses:

To facilitate weapons restrictions at Indiana Government Center North and Indiana Government Center South, as of July 21, 2008, the public must enter IGC buildings through a designated public entrance. The public entrance to Indiana Government Center South is located at 302 W. Washington St. (the eastern-most Washington St. entrance). This entrance will be equipped with metal detectors and screening devices monitored by Indiana State Police Capitol Police.

Passing through the public entrance may take some time. Please be sure to take this information into consideration if your company plans to submit a solicitation response in person.

If you ship or mail solicitation responses: United States Postal Express and Certified Mail are both delivered to the Government Center Central Mailroom, and not directly to the Procurement Division. It is the responsibility of the Respondent to make sure that solicitation responses are received by the Procurement Division at the Department of Administration's reception desk on or before the designated time and date. Late submissions will not be accepted. The Department of Administration, Procurement Division clock is the official time for all solicitation submissions.

All proposal packages must be clearly marked with the RFP number, due date, and time due. Any proposal received by the Department of Administration, Procurement Division after the due date and time will not be considered. Any late proposals will be returned, unopened, to the Respondent upon request. All rejected proposals not claimed within 30 days of the proposal due date will be destroyed.

No more than one proposal per Respondent may be submitted.

The State accepts no obligations for costs incurred by Respondents in anticipation of being awarded a contract.

All proposals submitted to the State should be double-sided and printed on 30% post-consumer recycled content paper or tree-free paper. When possible, soy ink should be used.

1.8 PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held at **10:00AM on June 28, 2010 in the Indiana Government Center South Building, Conference Room 22**. At this conference, potential respondents may ask questions about the RFP and the RFP process. Respondents are reminded that no answers issued verbally at the conference are binding on the State and any information provided at the conference, unless it is later issued in writing, also is not binding on the State.

1.9 MODIFICATION OR WITHDRAWAL OF OFFERS

Modifications to responses to this RFP may only be made in the manner and format described in Section 1.6 and clearly identified as a modification.

The Respondent's authorized representative may withdraw the proposal, in person, prior to the due date. Proper documentation and identification will be required before the Procurement Division will release the withdrawn proposal. The authorized representative will be required to sign a receipt for the withdrawn proposal.

Modification to, or withdrawal of, a proposal received by the Procurement Division after the exact hour and date specified for receipt of proposals will not be considered.

1.10 PRICING

Pricing on this RFP must be firm and remain open for a period of not less than 180 days from the proposal due date.

Please refer to the Cost Proposal sub-section under Section 2 for a detailed discussion of the proposal pricing format and requirements.

1.11 PROPOSAL CLARIFICATIONS AND DISCUSSIONS, AND CONTRACT DISCUSSIONS

The State reserves the right to request clarifications on proposals submitted to the State. The State also reserves the right to conduct proposal discussions, either oral or written, with Respondents. These discussions could include request for additional information, request for cost or technical proposal revision, etc. Additionally, in conducting discussions, the State may use information derived from proposals submitted by competing respondents only if the identity of the respondent providing the information is not disclosed to others. The State will provide equivalent information to all respondents which have been chosen for discussions. Discussions, along with negotiations with responsible respondents may be conducted for any appropriate purpose.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

A sample contract is provided in Attachment B. Any requested changes to the sample contract must be submitted with your response (See Section 2.3.5 for details). The State reserves the right to reject any of these requested changes. It is the State's expectation that any material elements of the contract will be substantially finalized prior to contract award.

1.12 BEST AND FINAL OFFER

The State may request best and final offers from those Respondents determined by the State to be reasonably viable for contract award. However, the State reserves the right to award a contract on the basis of initial proposals received. Therefore, each proposal should contain the Respondent's best terms from a price and technical standpoint.

Following evaluation of the best and final offers, the State may select for final contract negotiations/execution the offers that are most advantageous to the State, considering cost and the evaluation criteria in this RFP.

1.13 REFERENCE SITE VISITS

The State may request a site visit to a Respondent's working support center to aid in the evaluation of the Respondent's proposal. Site visits, if required will be discussed in the technical proposal.

1.14 TYPE AND TERM OF CONTRACT

The State intends to sign a contract with one or more Respondent(s) to fulfill the Maintenance and Support requirements outlined within this RFP. The term of this Fixed Price contract shall be for a period of two (2) years from the date of contract execution. At the discretion of the State, and with the mutual agreement of both parties, the term may be extended for a maximum of two (2), one (1) year periods; for a possible total of four (4) years.

1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.*, and, after the contract award, the entire RFP file may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the APRA must place all confidential documents (including the requisite number of copies) in a sealed envelope clearly marked "Confidential" and must indicate in the Transmittal Letter and on the outside of that envelope that confidential materials are included. The Respondent must also specify which statutory exception of APRA that applies. The State reserves the right to make determinations of confidentiality. If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to APRA, it may seek the opinion of the Public Access Counselor. Prices are not confidential information.

1.16 TAXES

Proposals should not include any tax from which the State is exempt.

1.17 PROCUREMENT DIVISION REGISTRATION

In order to receive an award, you must be registered as a bidder with the Department of Administration, Procurement Division. Therefore, to ensure there is no delay in the award, all Respondents are strongly encouraged to register prior to submission of their response. Respondents should go to www.in.gov/idoa/2464.htm.

1.18 SECRETARY OF STATE REGISTRATION

If awarded the contract, the Respondent will be required to register, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. Information concerning registration with the Secretary of State may be obtained by contacting:

Secretary of State of Indiana
Corporation Division
402 West Washington Street, E018
Indianapolis, IN 46204
(317) 232-6576
www.in.gov/sos

1.19 COMPLIANCE CERTIFICATION

Responses to this RFP serve as a representation that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State, and it agrees that it will immediately notify the State of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Respondent agrees that the State may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, that State may bar the Respondent from contracting with the State, cancel existing contracts, withhold payments to offset such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the State.

1.20 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5, it has been determined that there is a reasonable expectation of minority and woman business enterprises subcontracting opportunities on a contract awarded under this RFP. Therefore a contract goal of 8% for Minority Business Enterprises and 8% for Woman Business Enterprises have been established and all respondents will be expected to comply with the regulation set forth in 25 IAC 5.

Failure to meet these requirements will affect the evaluation of your proposal.

1.21 MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR COMMITMENT

In accordance with 25 IAC 5-5, the respondent is expected to submit with its proposal a MWBE Subcontractor Commitment Form. The Form must show that there are, participating in the proposed contract, Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) listed in the Minority and Women's Business Enterprises Division (MWBED) directory of certified firms located at <http://www.in.gov/idoa/2352.htm>. If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal

and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety.

Failure to meet these goals will affect the evaluation of your Proposal. The Department reserves the right to verify all information included on the MWBE Subcontractor Commitment Form.

Respondents are encouraged to contact and work with MWBED at 317-232-3061 to design a subcontractor commitment to meet established goals as referenced in this solicitation.

Prime Contractors must ensure that the proposed subcontractors meet the following criteria:

- Must be listed on the IDOA Directory of Certified Firms
- Each firm may only serve as one classification – MBE or WBE
- A Prime Contractor who is an MBE or WBE must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
- Must serve a commercially useful function. The firm must serve a value-added purpose on the engagement.
- Must provide goods or service only in the industry area for which it is certified as listed in the directory at <http://www.in.gov/idoa/2352.htm>
- Must be used to provide the goods or services specific to the contract
- National Corporate Diversity Plans are generally not acceptable

**MINORITY & WOMEN’S BUSINESS ENTERPRISES RFP SUBCONTRACTOR
LETTER OF COMMITMENT**

A signed letter(s), on company letterhead, from the MBE and/or WBE must accompany the MWBE Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the MBE and/or WBE of its subcontract amount, a description of products and/or services to be provided on this project and approximate date the subcontractor will perform work on this contract. The State will deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the regulatory processes involving the State’s M/WBE Program. Questions involving the regulations governing the MWBE Subcontractor Commitment Form should be directed to: Minority and Women’s Business Enterprises Division at (317) 232-3061 or mwbe@idoa.in.gov.

1.22 AMERICANS WITH DISABILITIES ACT

The Respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.* and 47 U.S.C. 225).

1.23 SUMMARY OF MILESTONES

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team's findings.

Table 2. Key RFP Dates:

Activity	Date
Issue of RFP	June 21, 2010
Pre-Proposal Conference	June 28, 2010
Deadline to Submit Written Questions	June 30, 2010
Deadline to Submit Non-Disclosure Agreement	June 30, 2010
Response to Written Questions/RFP amendments	July 14, 2010
Submission of Proposals	August 11, 2010
<i>The dates for the following activities are target dates only. These activities may be completed earlier or later than the date shown.</i>	
Proposal Evaluation	TBD
Proposal Discussions/Clarifications (if necessary)	TBD
Oral Presentations (if necessary)	TBD
Best and Final Offers (if necessary)	TBD
Contract Award	TBD

SECTION TWO

PROPOSAL PREPARATION INSTRUCTIONS

2.1 GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is described in this section. All Respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Each item must be addressed in the Respondent's proposal.
- The Transmittal Letter must be in the form of a letter.
- The business and technical proposals must be organized under the specific section titles as listed below.
- The proposal must be submitted in the following fashion described below. If the proposal is not submitted in the required format, the proposal will not be considered.
 - The entire submitted proposal must not exceed 150 pages.
 - The Respondent should send or deliver one (1) signed original hard-copy and seven (7) CD copies of the proposal, as well as one (1) original CD-ROM to the Indiana Department of Administration.
 - Proposals are to be prepared on standard 8-1/2" x 11" paper; double-sided in Times New Roman with a minimum font size of ten (10).
 - Foldouts containing charts, spreadsheets, and oversize exhibits are not permissible.
 - The pages should be placed in a binder with tabs separating the sections of the proposal.
 - If the Respondent chooses to submit manuals and other reference documentation it must be bound separately and clearly marked as "Supplemental Material".
 - All responses, as well as any reference materials presented must be written in English.
 - Proposals must respond to the RFP requirements by restating the number and text of the requirement in sequence and writing the response immediately after the requirement statement.
 - Figures and tables must be numbered and referenced in the text by that number. They should be placed as close as possible to the referencing text.
 - Pages must be numbered consecutively within each section of the proposal showing proposal section and page number.
 - Proposals shall be based only on the material contained in this RFP.
 - All responses to the requirements in Sections of this RFP must clearly state whether the proposal will satisfy the referenced requirements, and the manner in which the requirement will be satisfied.

2.2 TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as "optional."

2.2.1 Agreement with Requirement in listed in Section 1

The Respondent must explicitly acknowledge understanding of the general information presented in Section 1 and agreement with any requirements/conditions listed in Section 1.

2.2.2 Summary of Ability and Desire to Supply the Required Products or Services

The Transmittal Letter must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section 2.4 of this RFP. The letter must also contain a statement indicating the Respondent's willingness to provide the requested products and/or services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses.

2.2.3 Signature of Authorized Representative

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the proposal meets all general conditions including the information requested in Section 2.3.4, must sign the Transmittal Letter. **In the Transmittal Letter, please indicate the principal contact for the proposal along with an address, telephone and fax number as well as an e-mail address, if that contact is different than the individual authorized for signature.**

2.2.4 Respondent Notification

Unless otherwise indicated in the Transmittal Letter, Respondents will be notified via e-mail.

It is the Respondent's obligation to notify the Procurement Division of any changes in any address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor addresses.

2.2.5 Principal Place of Performance

Vendor may choose to house helpdesk and development staff offsite, but within the state of Indiana. The state will require certain key vendor personnel to be housed at the Indiana Government Center campus.

State hours are from 7:00 am to 5:30 pm, LOCAL TIME, Monday through Friday (Holidays excluded), and the Respondent shall have staff available during those hours.

2.3 BUSINESS PROPOSAL

The Business Proposal must be submitted using the Business Proposal Response Template (Attachment D). The Business Proposal must address the following topics except those specifically identified as "optional."

2.3.1 General (optional)

This section of the business proposal may be used to introduce or summarize any information the Respondent deems relevant or important to

the State's successful acquisition of the products and/or services requested in this RFP.

2.3.2 Respondent's Company Structure

The legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

2.3.3 Company Financial Information

This section must include the Respondent's financial statement, including an income statement and balance sheet, for each of the two most recently completed fiscal years. The financial statements must demonstrate the Respondent's financial stability. If the financial statements being provided by the Respondent are those of a parent or holding company, additional financial information should be provided for the entity/organization directly responding to this RFP.

2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

The Sarbanes Oxley Act of 2002, H.R. 3763, is NOT directly applicable to this procurement; however, its goals and objectives may be used as a guide in the determination of corporate responsibility for financial reports.

2.3.5 Contract Terms/Clauses

A Sample Contract that the state expects to execute with the successful Respondent(s) is provided in Attachment B. It is the State's expectation that the final contract will be substantially similar to the sample provided. All clauses in this contract are mandatory and non-negotiable. The mandatory contract terms include the following:

- Authority to Bind Contractor
- Duties of Contractor, Rate of Pay, and Term of Contract
- Compliance with Laws
- Drug-free Workplace Provision and Certification

- Funding Cancellation
- Indemnification
- Termination for Convenience
- Governing Laws
- Non-discrimination clause
- Payments
- Penalties/Interest/Attorney's Fees
- Non-collusion and Acceptance
- Information Technology Enterprise Architecture Requirements

In your Transmittal Letter (see section 2.2) please indicate acceptance of all contract terms. Respondents should review these clauses in detail as specific agreement to these clauses is required in the Transmittal Letter.

Failure to include a clear, specific, unequivocal agreement to all clauses may result in disqualification of the proposal from further evaluation.

If you are requesting additional contract terms that are consistent with the Sample Contract in Attachment B please include them in this section. To reiterate, it is the State's strong desire to not deviate from the contract provided in the attachment. The State reserves the right to reject any and all of these requested additional terms.

Any or all portions of this RFP and any or all portions of the Respondents response may be incorporated as part of the final contract.

2.3.6 References

The Respondent must include a list of at least three (3) clients for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFP. In addition, the Respondent should provide all certifications that proposed project team members hold in any of the third-party tools listed within the Technical Proposal. If the Respondent has had previous contracts with the State, it is required that the State be listed as one of the references. Information provided should include the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information, as well as certification acronyms if applicable. Vendors, who intend to respond to one component or both components, will need to submit references for each component.

2.3.7 Registration to do Business

Secretary of State

If awarded the contract, the Respondent will be required to be registered, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. The Respondent must indicate the status of registration, if applicable, in this section of the proposal.

Department of Administration, Procurement Division

Additionally, respondents must be registered with the IDOA. This can be accomplished on-line at <http://www.in.gov/idoa/2464.htm> .

The IDOA Procurement Division maintains two databases of vendor information. The Bidder registration database is set up for vendors to register if you are interested in selling a product or service to the State of Indiana. Respondents may register on-line at no cost to become a Bidder with the State of Indiana. To complete the on-line Bidder registration, go to <http://www.in.gov/idoa/2464.htm>. The Bidder registration offers email notification of upcoming solicitation opportunities, corresponding to the Bidder's area(s) of interest, selected during the registration process. Respondents do need to be registered to bid on and receive email notifications. Completion of the Bidder registration will result in your name being added to the Bidder's Database, for email notification. The Bidder registration requires some general business information, an indication of the types of goods and services you can offer the State of Indiana, and locations(s) within the state that you can supply or service. There is no fee to be placed in Procurement Division's Bidder Database. To receive an award, you must be registered as a bidder.

Problems or questions concerning the registration process or the registration form can be e-mailed to Amey Redding, Vendor Registration Coordinator, aredding@idoa.in.gov, or you may reach her by phone at (317) 234-3542.

2.3.8 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

2.3.9 Subcontractors

The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products or services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address and the state in which formed that are proposed to be used in providing the required products or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority or Women Owned Business under IC 4-13-16.5-1. See Section 1.21 and Attachment A for Minority and Women Business information.

2.4 TECHNICAL PROPOSAL

The Technical Proposal will comprise narrative responses to the sections below, providing details on the Vendor's proposed approach to successfully perform each of the tasks described. The Technical Proposal must be divided into the sections described below and every item in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the Technical Proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the Technical Proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State. As the Technical Proposal will serve as a basis for evaluating both the Vendor and their proposed solution, the information included must be sufficient and comprehensive as to facilitate State scoring.

To facilitate submissions, Respondents must use Attachment E, Technical Proposal Response Template, to provide their narrative responses for the Technical Proposal.

The information below provides a detailed description of the services that the State is requesting from the Vendor. The objective of this RFP is to select a Vendor to provide:

- Maintenance and Support of existing systems and applications including Minor Modifications.
- Major Modifications to existing systems and applications at the State's discretion as determined following the receipt of Time and Material bids.

The responsibilities set forth in this RFP will be performed during the estimated contract period of two (2) years plus the two (2), one (1) year extension optional, at the State's discretion. Phase-out transition activities are required either at the conclusion of the contract or in the event that the contract is terminated prior to the contract end date. Should any of the systems migrate to a new solution during the contract term, the Vendor will be required to assist with migration and phase-out activities. Please see section 2.4.1 for more information.

The State expects that the Vendor will exhibit creativity and employ quality business techniques in its proposed services. The Vendor will also be in full compliance with all applicable state and federal requirements referenced throughout the RFP and provide services in a manner that maximizes the performance of systems and applications for the State. The State has determined that it is best to define its own needs, desired operating objectives, and desired operating environment. The State will not tailor these needs to fit some solution a bidder may have available, rather the bidder shall propose to meet the State's needs as defined in this RFP. As such, it is critical that the Vendor have extensive familiarity with the technology supporting these systems or demonstrate the ability to obtain such familiarity in a short period of time. The Vendor must also clearly demonstrate an understanding of the RFP requirements. All Vendors should also demonstrate an ability to work productively with any State-appointed entity.

The Vendor's Technical Proposal should provide information related to the Vendor's knowledge of and experience with the following topics:

- Case Management Business Processes (Section 2.4.2)
- IBM Rational Tools (Section 2.4.3)
- Change Request Management (Section 2.4.4.1)
- Configuration Management (Section 2.4.4.2)
- System Documentation (Section 2.4.4.3)
- Ownership of Systems, Source Code, Tools and Applications (Section 2.4.5.1)
- Data Ownership (Section 2.4.5.2)
- Database and Application Maintenance (Section 2.4.5.3)
- System, Data and User Security Management (Section 2.4.5.4)
- Software and Hardware Infrastructure Support (Section 2.4.5.5)
- Disaster Recovery (Section 2.4.5.6)
- Quality Assurance Testing (Section 2.4.5.7)
- Help Desk Support (Section 2.4.5.8)
- System Error Tracking and Corrections (Section 2.4.5.9)
- Third Party Tool Usage and Support (Section 2.4.5.10)
- Project Management (Section 2.4.6.1)
- Training, Presentations and Demonstrations (Section 2.4.6.2)
- Communication (Section 2.4.7.1)
- Staffing Requirements, Responsibilities and Qualifications (Section 2.4.7.2)
- Performance Metrics (Section 2.4.7.3)
- Transition Plan (Section 2.4.7.4)
- Responsibilities of the Vendor (Section 2.4.7.5)

Vendors should be prepared to provide all of the listed services, but the State reserves the right to award all or part of specified services to the selected Vendor.

2.4.1 SYSTEMS AND INTERFACES

There are a number of systems that support the operations of the Indiana Family and Social Services Administration (FSSA). The following information will provide the Vendor with an overview of the systems presently supported, along with information regarding system interfaces they support. It is essential that the selected Vendor have an understanding of these systems and interfaces, or provide information demonstrating their ability to quickly understand these systems and interfaces and provide the necessary support. Request for responses related to the maintenance and support of these systems will be presented in the following sections.

Please note that there is a possibility that the primary systems, INsite and DART, may be migrating to a new solution during the term of this contract. This would also impact some subsystems and interfaces. Should this occur, the selected Vendor will be expected to assist with the transition; including phasing out the existing systems, assisting with the data migration to the new system, and developing needed interfaces between the new systems and remaining legacy systems.

2.4.1.1 Systems

2.4.1.1.1 INsite - INsite provides support for multiple, program-specific case management business processes. Major business processes include recording client demographics, client contact information, case/progress notes, assessments, eligibility determinations, service planning, fiscal management, and outcome measurement. INsite also manages case managers and provider databases.

- Technical Aspects
 - MS SQL Server 2005 Database
 - FoxPro Database
 - FoxPro Application
- Functional Aspects
 - Intake
 - Client Demographics
 - Client Contacts
 - ACCM (Assessment for Combined Case Management) – contains client data included information such as doctors, medications, insurance, hospitalizations, etc.
 - Case/Progress Notes
 - Record Child and Adolescent Needs and Strengths (CANS) Data (DMHA)
 - Assessment / Eligibility Determination

- Eligibility – Escreen – Used to assist in determining eligibility for AD/TBI waivers and CHOICE
- Developmental Disabilities Profile (DDP)
- Waiver LOC Determination/Approval
- Level of Service Assessments
- Waitlist Management (Targeting for Waiver Clients)
- DA Programs
- Autism Waiver (AU), Developmental Disability (DD) Waiver, Support Service Waiver (SSW)
- CA-PRTF
- Service Planning
 - Request for Approval (RFA)
 - Individualized Support Plan (ISP)
 - Person Centered Service Planner
 - Review Medicaid Paid Claims
 - Display Medicaid Eligibility, Aid Category, Managed Care Enrollment
 - Budget Allocation Functionality – Determines service dollars for Autism and DD waivers only
 - Resource Determination Tool (RDT) information
 - Budget Allocation Review Process
 - Waiver Service Planning Cost Comparison Budget (CCB)
 - Transmit Waiver Prior Authorization to MMIS
 - Create HIPAA 837 claim and transmit to MMIS
 - Non-Waiver Service Planning
 - Local Funding Service Planning
 - CHOICE Cost Share Processes
 - Receive and transmit data with case management via FTP processing
 - Transmit Waiver Notices of Action forms to providers via encrypted e-mail
- Fiscal
 - Record Delivery of Non-Waiver Services
 - Generate Paper Voucher for AAA Claims Payment Systems
 - Generate/Send CHOICE Cost Share Bills
 - Manage MMIS Payments (AAA Provided Services)
- Outcome Measurement
 - Standard Reports

- Provider Management
 - Non-Waiver Providers
 - DA Management of Waiver Providers
 - Quality Improvement Program and Client Satisfaction Survey
 - BDDS Management of Waiver Providers
 - DMHA Management of CA-PRTF Providers
 - General CM Processes
 - Maintain Case Manager records
 - Peripheral CM Processes
 - Nutrition
 - National Aging Program Information System (NAPIS) Module
- 2.4.1.1.2 INsite Decentralized – Provides INsite users with a tool to use while not connected to the network. Data is currently transferred to/from the local installations to the central database.
- 2.4.1.1.3 DART – Client server based application to support case management for the Division of Disability and Rehabilitative Services (DDRS). The application houses client demographic and status information, eligibility, placement information, State Line budget and claims information and provider management, along with other information to support DDRS. The Division of Aging (DA) also uses the incident reporting and mortality review portions of the application. Case activities and budgeting for Waiver clients are exposed to DART from INsite.
- Technical Aspects
 - SQL Server 2005 database
 - DART
 - INsite Tables
 - FoxPro linked server
 - VB6
 - Deployment Environment
 - IOT hosted Server with MS Windows OS
 - One Server at each District Office with MS Windows OS
 - 10 Citrix Servers
 - Functional Aspects
 - Intake
 - Status tracking of intake process
 - Client demographic information
 - Assessment
 - DDP

- Eligibility
 - DD eligibility
 - Appeal tracking
 - Level of Care
 - Multiple types
 - Status tracking
 - Appeal tracking
- Needs
 - Environmental factors
 - Personal factors
 - Diagnosis
 - Preferences
 - Services needed
- PCP Team
 - Members representing the client
- Service Coordination
 - Family composition
 - Living arrangement
 - Transition information
 - Services with start and stop dates
 - Previous services
- State Line Item Fiscal/Service Planning
 - Individual State Line Item budgets
 - Start and stop dates
 - Allocation amounts
 - Service plans
 - Justifications
 - Approval and denial workflows
- State Line Item Claims
 - View of all State Line Item claims for client
 - State Line Item Payment status
- OBRA
 - Important date tracking
 - Service monitoring
 - Face to face interview tracking
 - Kraus lawsuit tracking
 - Status tracking onto the waiver
 - Time management and tracking
- Incident Reporting
 - Historical view of all incidents and findings by client

- Processing
- Classification
- Assignment of status
 - Follow-up
 - Processing
 - Sentinel
- Monitoring status
- Mortality Review
 - Processing case from time of report to closure
 - Demographic and program information
 - Details and findings
 - Case Status tracking and activities
 - Committee and Sub-committee scheduling
 - Actions taken
- Case notes and activities
 - General notes
 - Specific activities
- Waiver Targeting
 - Request for priority waiver
 - Processing of priority requests
 - Mass targeting
 - Process tracking
 - Communications
 - Waiver Activation and monitoring
- Membership participation
 - Activate and deactivate
- Workload management
 - Monitoring clients that require actions by activity type
- Search
 - Both DART and INsite
 - Historical activity
- Administration
 - Configure system lookup tables
 - Setup users
 - Assign access rights
 - Usage reports
 - Setup personnel and support participants
 - Reassign case loads
 - Merge client records
 - Merge provider records

- Waiver Slot Management
 - Setup
 - Add
 - Clear
 - Refresh
- Reports
 - Most reports accept parameters to change the scope of the reports
 - Customer
 - Financial
 - Incident
 - OBRA
 - Case Activity
 - Provider
 - Waiting List
 - Administrative

2.4.1.1.4 STMS (Survey Tool Management System) – Web based survey tool providing contracted vendor access to random sampling of current waiver clients. The vendor can create surveys and then capture the information for the clients from the surveys. If needed, a corrective action plan can be created and responsible parties would be required to input information over the web to address the issues.

- Technical Aspects
 - MS SQL Server 2005 Database
 - CST (Comprehensive Survey Tool)
 - CPTMT (Comprehensive Post Transition Monitoring Tool)
 - INSITE_Tables
 - DDRS (security)
 - DDRS (standard schema)
 - DART
 - Source Code
 - VB.Net Smart Client
 - WCF Services residing on IIS webserver
 - ASP.Net 3.5 – DDRS Provider website
 - Deployment environment
 - IOT hosted Server with MS Windows OS
 - Client computer
- Functional Aspects
 - Consumer Search

- Provider Search
- Viewing of Consumers INsite Data
- Documents - Uploading \ Downloading
- Reports
- Provider Contacts
- View of Open and Completed Surveys
- Corrective Action Plans
- Survey assignment
- Survey scheduling
- Follow up \ Review process
- Random Sample survey generation

2.4.1.1.5 DDRS Provider Portal – Portal website on IN.Gov that provides access to various applications for users outside the State Backbone. These users are primarily providers and vendors providing services on behalf of the State. The applications are typically organized around specific tasks. All of these applications are protected by user logon and roles with the exception of Incident and Follow-Up Reporting (IFUR) and Interactive Budget Tool (IBT). These last two applications are open to all users and do not expose information from any other system.

- Technical Aspects
 - MS SQL Server 2005 Database
 - DART
 - INsite Tables
 - DDRS (security)
 - Source code
 - WCF Services residing on IIS webserver
 - ASP.Net 3.5 – DDRS Provider website
 - Deployment environment
 - IOT hosted Server with MS Windows OS
- Functional Aspects
 - Administration
 - Setup a single individual for each provider to manage their own users
 - Activate and Deactivate users
 - Reset passwords
 - Budgets
 - New budgets
 - Accept, deny or request additional information
 - Monitor progress
 - Complete budgets that require data entry

- Approved budgets
 - Denied budgets
- Claims
 - Technical Aspects
 - SQL database
 - VB.net
 - Functional Aspects
 - Create new claims
 - Audit claim in real time
 - Claim all services at one time by client
 - View status
 - View warrant summary
 - Submit claim
 - Route file to CMS for payment
- Interactive Budget Tool
 - Open system
 - Select from waiver services and enter units needed
 - Apply business rules based on interaction of services
 - View and save services and monthly cost for review by a Case Manager
- IFUR (Incident Follow-up and Reporting)
 - Open system
 - Division of Aging Providers
 - Bureau of Developmental Disability Services Providers
 - Create an Incident report
 - Business rule driven screens based on entered values
 - Print and save a local copy of the incident report
 - Submit to the State the incident report
 - Create a follow-up report
 - Print and save a local copy of the follow-up report
 - Submit to the State the follow-up report
- Documentation
 - Public documentation relating to the delivery of services or provider related are posted to the home page

2.4.1.1.6 PAS/PASRR (Pre Admission Screening and PAS Resident Review)
 – A screening tool used to provide a comprehensive assessment of medical needs for those entering nursing facilities. The system records the decision and prepares necessary paperwork for nursing facilities. PASRR is a tool used for an annual rescreening of the

individuals having a qualifying mental illness, mental retardation or developmental disability diagnosis.

2.4.1.2 Interfaces and Ancillary Systems

- 2.4.1.2.1 FSSA Data Warehouse - General demographic information is extracted from DART in XML format and sent to a file system via FTP where other FSSA personnel retrieve it for reporting. Data is similarly extracted from other systems including INsite.
- 2.4.1.2.2 CMS (Contract Management System) – Pays State Line bills for Non-Waiver claims.
- 2.4.1.2.3 PeopleSoft –Non-Waiver claims and payments are scheduled to be handled via PeopleSoft rather than CMS beginning in Q3 2009.
- 2.4.1.2.4 IRIS (for DART) – Separate system utilized by Vocational Rehab that provides data views of DART client eligibility and waiver data.
- 2.4.1.2.5 Indiana AIM (Advanced Information Management System) and MMIS (Medicaid Management Information Systems) – Indiana AIM was developed and is managed by EDS (HP). This system supports the processing of claims. Claims processing is contained within MMIS which is an integrated group of procedures and subsystems.
- 2.4.1.2.6 RDT (Resource Determination Tool) – Used by the Division of Disability and Rehabilitative Services (DDRS) to retrieve scores from the ICAP system. These scores are required to start a DD (Developmental Disability) or Autism Waiver.
- 2.4.1.2.7 ICAP – A proprietary questionnaire and scoring tool that feeds into the RDT.
- 2.4.1.2.8 Medinsight – A system that extracts data from AIM allowing Case Mangers to view Medicaid claims and complete service plans.
- 2.4.1.2.9 INTouch – A system used by independent Case Managers working with IPMG. Case data is exchanged between INTouch and INsite.
- 2.4.1.2.10 IRIS (Information and Referral Service) – Not related to the IRIS system interfacing with DART. The system maintains information regarding social service and other agencies within the geographic territories of the Area Agencies on Aging (AAA), and tracks requests made for information or services. Selected data is sent from INsite to IRIS.

- 2.4.1.2.11 CHOICE/Cost Share – A system used to capture information about consumers receiving services from AAAs and determine the amount the AAAs should be reimbursed for providing these services.
- 2.4.1.2.12 Medicaid Billing Module – Module resides in INsite and allows AAAs and independent case management entities to bill for services provided.
- 2.4.1.2.13 Nutrition – Module within INsite that manages nutritional and functional information related to the preparation and delivery of meals.
- 2.4.1.2.14 NAPIS Reporting – Module within INsite that captures data related to delivered services not recorded in a service plan and produces a related annual report to be submitted to the Administration on Aging.
- 2.4.1.2.15 QIP (Quality Improvement Process / Client Satisfaction) – As a contract requirement from DA with the AAAs, this survey system captures client response and provides quality improvement feedback for service providers.
- 2.4.1.2.16 IDEC (Indiana Diagnostic and Evaluation Corporation) – A system utilized by DDRS personnel to make referrals to Diagnostic and Evaluation (D&E) teams.
- 2.4.1.2.17 Budget Allocation Request – Module within INsite that allows BDDS personnel to request budget modifications or ICAP reviews.

2.4.2 CASE MANAGEMENT BUSINESS PROCESSES

The State largely focuses its efforts on the development, implementation, maintenance and enhancement of systems designed to support Case Management Services provided to individuals and families served by FSSA. Populations supported by these services include, but are not limited to the Developmentally Disabled Population, and the Aged and Disabled Population.

Please describe the Vendor's understanding of Case Management Services and experience supporting related systems.

2.4.3 IBM RATIONAL TOOLS

The Division of Technology Services (DTS) uses the IBM Rational tool set to manage applications, supporting software and back end databases. The management set includes, but is not limited to documentation management, change management, configuration management, development, test management and release management. The following table enumerates the IBM Rational Tools presently deployed within DTS and their use.

Table 3. IBM Rational Tool Suite

Requisite Pro	Used for managing requirements created during the software engineering process. Also used for project documentation management.
ClearQuest	Used for Change Management of software development. Also used for Request Management including Help Desk ticket tracking.
Clear Case	Software version control and Configuration Management Tool. Integrates with Requisite Pro and ClearQuest to allow control requirements, models, source code, documentation and test scripts.
Build Forge	Used as the central build and release management tool. All software builds use this tool to provide a consistent means of release management.
Functional Tester	Used to provide automated functional and regression testing for all software.
Manual Tester	Used to provide manual functional and regression testing for all software.
Performance Tester	A multiuser performance testing tool that provides load testing with minimal hardware resources.

Individual reference to these tools will be made throughout this document as each subject matter is addressed. Knowledge of these tools and the implementation of them will be required of the selected Vendor.

Please describe the Vendor's understanding of the IBM Rational Tools and experience deploying and using these tools.

2.4.4 CHANGE CONTROL

2.4.4.1 Change Request Management

FSSA has implemented a Governance structure to manage all change requests from inception to resolution. A Steering Committee and a Change Review Board are responsible for reviewing change requests and authorizing work to be performed. The selected Vendor will follow the change request process. The selected Vendor will be expected to utilize IBM ClearQuest in conjunction with IBM Requisite Pro as well as IBM ClearCase to accomplish this management. Proper approval methods, including electronic signatures, must be maintained as well as electronic notifications. Change request tracking and the ability to report on project estimated and actual hours and costs must be made available.

At the discretion of the State, some members of the selected Vendor's organization may be asked to attend Change Review Board meetings.

Please describe the Vendor's experience supporting and participating in a formalized IT Governance plan.

2.4.4.2 Configuration Management

With the integration of the IBM Rational Toolset, the State has been modifying and updating its Configuration Management plan. The selected Vendor will be expected to adopt the processes outlined in this plan and to assist the organization with expanding the plan as processes and procedures change.

Please provide a sample Configuration Management Plan currently utilized by the Vendor. If the plan does not include the use of the IBM Rational Tool Suite, please describe how this tool set would fit into the Vendor's plan. Please include information related to managing changes, release cycles and "back-out" procedures.

2.4.4.3 System Documentation

The selected Vendor will be expected to accept and maintain documentation concerning existing systems, software, databases and policies and procedures. Additionally, the vendor will provide and maintain documentation supporting all new development and modifications.

The documentation will be available in electronic form, will follow any existing or future standards set forth by the State during the duration of the contract and will be maintained in a location specified by the State. Documents will be maintained and updated on a regular basis by the selected Vendor. Documentation may include, but will not be limited to the following:

- Data Dictionary: Document the validation rules, formatting, data limits and tool tips
- Workflow Documentation
- Process Flow Mapping
- Business Requirements
- Design Documentation
- Technical Specifications
- Test Plans
- Test Results
- User Guides

Please provide samples of documentation the Vendor has created for currently or previously supported systems.

2.4.5 Maintenance and Support

The selected Vendor will maintain and support all current applications and databases described in this document as well as any modifications approved by the State. This support will be at the direction of the State and will

ensure uninterrupted operation of the tools, meeting federal and state requirements to qualify for maximum Federal Financial Participation. The selected Vendor will maintain adequate staff, both in numbers and in qualifications, to meet this requirement.

Maintenance and Support services should include the activities listed below.

2.4.5.1 Ownership of Systems, Source Code, Tools and Applications

The selected Vendor must recognize and acknowledge that all systems developed by the selected Vendor at the State's discretion during the term of this contract and their associated source code will be the property of the State and may not be marketed or sold by the selected Vendor without express written consent of the State. Furthermore, any tools or applications purchased by the State and utilized by the selected Vendor during the term of this contract will remain the property of the State and the selected Vendor must surrender use of these tools or applications at the completion of this contract.

The State recognizes that during the term of the contract, the selected Vendor may acquire, at the Vendor's expense and at the State's discretion, certain tools and applications to use on the State's behalf. The State acknowledges that, at the completion of this contract, the State will have the responsibility of compensating the selected Vendor for the cost of these tools and applications or surrendering the use of these tools or applications.

Please verify the Vendor's understanding that systems and associated source code developed by the Vendor on the State's behalf during the term of this contract, and any tools or applications purchased by the State and utilized by the Vendor on the State's behalf during the term of this contract will be and remain the property of the State.

2.4.5.2 Data Ownership

The selected Vendor must recognize and acknowledge that all data stored in systems maintained and supported by and/or hosted by the selected Vendor on the State's behalf is the property of the State and may not be marketed or sold by the Vendor without express written consent of the State.

Please verify the Vendor's understanding of the ownership of the data stored in the State's systems.

2.4.5.3 Database and Application Maintenance

The selected Vendor will be expected to provide maintenance to all databases, applications and, as needed, third party software applications. All service packs, patches and hot fixes for any Vendor servers supporting State applications shall be furnished by the Vendor throughout the term of this contract at no additional charge and must be tested prior to installation on Production servers. These installations

must follow the standards set by IOT and shall be scheduled in conjunction with IOT maintenance windows. The IBM Rational tools described in Table 1 should be used to manage the documentation and release of these items.

Please describe the Vendor's ability to and experience with providing maintenance on numerous databases and applications, incorporating the use of third party software. Please identify the number of years the Vendor has been providing these services, the number of clients and systems the Vendor has supported during this time, and the number of users supported on the referenced systems.

2.4.5.4 System, Data and User Security Management

The selected Vendor will be expected to conform to the State Security Standards defined by IOT and DTS, including DTS' Security and Privacy Policies, Procedures, and Standards. The selected Vendor shall coordinate with IOT and DTS to ensure that all System and Data security standards are maintained. User Security has been built into the independent systems to accommodate a variety of users. The selected Vendor must ensure that User Security standards meet or exceed the standards set forth by IOT and DTS and will be accountable for any and all violations of security.

In addition, the selected vendor must comply with certain sections of the HIPAA Security Standard as required by the HITECH Act (under the American Recovery and Reinvestment Act of 2009, Title XIII, known as the Health Information Technology for Economic and Clinical Health Act, Subtitle D), as well as other provisions of HITECH.

Please describe the Vendor's ability to and experience with maintaining system, data and user security standards on varied systems. Please identify the number of years the Vendor has been providing these services and the number of clients the Vendor has supported during this time.

Please describe whether the vendor has developed specific security policies and procedures governing the conduct of its business and personnel in compliance with the HITECH required sections of the HIPAA Security Standard, as well as other vendor (business associate) requirements under HITECH. Please state whether or not the Vendor has been responsible for a breach (intentional or inadvertent) of security, including the disclosure of protected health information, and if so, the circumstances regarding the breach.

2.4.5.5 Software and Hardware Infrastructure Support

FSSA supports an environment that includes a variety of hosting configurations as well as application configurations and languages. Most of the systems supported are hosted on servers located with and maintained by IOT. FSSA is also responsible for utilizing and

supporting applications in collaboration with other teams and vendors and for the support of local applications installed at offices distributed around the state. As a result, FSSA **requires selected vendor** to provide the following services:

- Liaise with other supporting organizations and third party vendors (IOT, DTS, IBM, etc.) in order to insure infrastructure support is as efficient and effective as possible
- Support distributed applications at field offices
- Provide application installation services as needed locally and at field offices

Please describe the Vendor's experience establishing and maintaining infrastructures to support varied systems and applications. Please identify the number of years the Vendor has been providing these services and the number of clients the Vendor has supported during this time.

2.4.5.6 Disaster Recovery

The selected Vendor will ensure that all current and future systems are managed and monitored within the scope of IOT standards and processes. The selected Vendor will work with the State to identify systems that are determined to be critical. For these critical systems, the selected Vendor will support the efforts of IOT should they require assistance in the execution of a Disaster Recovery test on these critical systems.

Please provide a sample of a Disaster Recovery Plan currently utilized by the Vendor. Please acknowledge Vendor's willingness to support IOT DR plan and testing.

2.4.5.7 Quality Assurance Testing

The selected Vendor shall be responsible for ensuring that all system changes are tested before being moved to production. It is expected that the selected Vendor will employ Quality Assurance (QA) personnel who will ensure that all releases are adequately tested. Testing efforts shall include, but are not limited to:

- Developer Unit Testing
- QA Testing utilizing IBM Rational Manual Tester
- Creation of automated test scripts utilizing IBM Rational Functional Tester
- Data Migration Testing and Validation as required for the release
- Performance Testing in cooperation with IOT
- Regression Testing
- Organization and facilitation of User Acceptance Testing (UAT)
- All code changes shall be approved/signed-off by the State prior to being released to production

Please describe the Vendor's Testing methodology and standards currently utilized on supported systems. Please describe the Vendor's experience with using IBM Rational Manual and Functional Tester tools. Please describe how the Vendor would propose to implement their testing methods and standards in support of the State systems.

2.4.5.8 Help Desk Support

The State has adopted the IBM Rational Tool ClearQuest to track system related issues. The selected Vendor will have expertise with ClearQuest and a detailed methodology for providing Help Desk support to resolve user requests. The State has identified Help Desk as an entry point for all issues and requests. The following is a representative list of the major categories of Tier 1 Help Desk activities to be performed by the selected Vendor and is not intended as an exhaustive list of duties related the Help Desk functionality and activities:

- Function as primary point of contact for FSSA Divisions
- When issues are reported related to internal and external tools, systems, applications and networks:
 - Log issues into IBM ClearQuest
 - Conduct preliminary troubleshooting
 - Replicate issues as appropriate for verification
 - Resolve issues as appropriate
 - Escalate issues as appropriate and track resolution
 - Test resolutions as requested
 - Interface with IOT for assistance as needed
- Process requests related to:
 - Account creations
 - Password resets
 - Criminal Background checks
 - HIPAA training
 - System access rights
- Filter equipment requests, obtain approvals and process orders
- Provide installation services for applications
- Provide installation instructions for field applications
- Provide user training on the issues submission process
- Provide ad-hoc reporting services or arrange for report creation
- Assist with application testing as needed
- Communicate existence and resolution of known issues to user groups

Related to the implementation of IBM ClearQuest, the State is also working to develop performance measurements and service level expectations for the Help Desk and improve the utilization of this team.

The selected Vendor will also provide Tier 2 Help Desk support. Personnel providing Tier 2 Help Desk services will include analysts who

can assist with analyzing escalated issues and communicating with the Business Areas on these issues to determine what resolution is needed and who will provide this resolution.

The Developers employed by the selected Vendor will serve as Tier 3 Help Desk support where corrections are needed for one of the identified systems to resolve an issue.

Help Desk services are provided for all managed systems and selected ancillary systems. The selected Vendor shall be responsible for providing Help Desk services for supported systems.

Any new systems that will be added will be determined by a contract amendment.

Please describe the Vendor's experience providing Help Desk support along with a description of the methodology for providing support. If the Vendor's methodology does not include the use of IBM ClearQuest, please describe the Vendor's understanding of this tool and how it would fit into the Vendor's methodology. Also, please provide an example of a time when the Vendor took over Help Desk operations for a client and improved the efficiency and effectiveness of this team.

2.4.5.9 System Error Tracking and Corrections

While the Help Desk is responsible for resolving user related errors, other Vendor resources will be required to resolve technical system errors, which will also be tracked by the Help Desk utilizing ClearQuest.

The selected Vendor will be expected to meet the targets identified in the table below for System monitoring and incident response.

Table 4. Incident Response Guidelines

System Incident Response Guidelines		
Purpose	This table outlines the Contractor’s expected response times related to incidents impacting the applications being supported.	
Systems will be actively monitored during normal business hours of 7:00 AM – 5:30 PM (Local Time), Monday – Friday (State Holidays Excluded)		
Incident	Activity	Target
Application error disrupting normal business processes	Report incident	< 1 hour
	If work-around is available, identify work-around and notify users of process	1 – 3 hours
	Identify corrective solution, document and notify State of solution and estimated implementation	3 – 5 hours

System Incident Response Guidelines		
Purpose	This table outlines the Contractor’s expected response times related to incidents impacting the applications being supported.	
Systems will be actively monitored during normal business hours of 7:00 AM – 5:30 PM (Local Time), Monday – Friday (State Holidays Excluded)		
Incident	Activity	Target
	Implement solution, test and release to production	< 8 hours
Application error that does not disrupt normal business processes	Report incident	< 2 hours
	If work-around is available, identify work-around and notify users of process	2 – 4 hours
	Identify corrective solution, document and notify State of solution and estimated implementation	4 – 8 hours
	Implement solution, test and release to production	< 16 hours
Data error disrupting normal business processes	Report incident	< 1 hour
	Identify corrective solution, document and notify State of solution and estimated implementation	1 – 6 hours
	Implement solution, test and release to production	< 12 hours
Data error that does not disrupt normal business processes	Report incident	< 2 hours
	Identify corrective solution, document and notify State of solution and estimated implementation	2 – 12 hours
	Implement solution, test and release to production	< 32 hours

Please describe the Vendor's experience with trouble-shooting and resolving technical system errors along with a description of the methodology used to resolve these errors.

2.4.5.10 Third Party Tool Usage and Support

As identified in Sections 1.4 and 2.4.3, FSSA has incorporated the use of the IBM Rational Tool suite, a third party tool. In addition, other third party tools are utilized by this team and/or other teams with which there are coordinated efforts. Where third party tools have been integrated into the day-to-day operations, specifically the IBM Rational Tool Suite, and in the event that other third party tools are introduced into these operations at the State's discretion, the selected Vendor will utilize these tools in coordination with the third party vendor and/or possibly adapt

the supported systems to utilize these tools. Where other third party tools are utilized, it would be highly advantageous for the selected Vendor to have experience with these tools. Third party tools presently deployed within these environments include the following.

- IBM Rational Tool Suite
- MS Reporting Services
- Cognos
- SQL 2005
- Oracle 10g and Real Application Clusters (RAC) 10g
- PeopleSoft
- WebSphere (6.0.1.21 or higher)
- Redgate
- MS SharePoint 2007

Please describe the Vendor's ability to and experience with using and managing these third party tools. Please identify the Vendor's years of experience using the tools.

2.4.6 Organizational Support

2.4.6.1 Project Management

The selected Vendor will be required to provide Project Management support for all activities and undertakings of the vendor's staff during the period of this contract. If necessary the project manager will need to be PMP certified and follow all current established state process for project management and system development life cycle.

Please describe the Vendor's experience with managing projects using the PMBOK guidelines and SDLC guidelines.

2.4.6.2 Training, Presentations and Demonstrations

The selected Vendor will be responsible for providing training and conducting system related presentations and demonstrations to audiences which may include other team members, members of other support teams, organizational managers and also end users. The selected Vendor will be required to create training and demonstration materials for supported systems where such materials do not currently exist. The selected Vendor will have the opportunity to modify and expand existing training and demonstration materials with State approval. The selected Vendor will be required to meet the following expectations:

- Develop and keep up-to-date Presentation Materials to support basic description and demonstration of the supported systems
- Develop and keep up-to-date Training Materials to support user and technical training of the supported systems
- Work with the State to migrate appropriate training to an e-Training platform

- Schedule and communicate Training Classes for each of the supported systems on a regular basis as determined by the State

Please describe the Vendor's experience developing and conducting training for diverse user groups. Please describe the Vendor's experience developing and maintaining an e-Training platform.

2.4.7 Administrative

2.4.7.1 Communications

It is essential that the selected Vendor maintain open communication with FSSA. This will include regularly scheduled meetings, impromptu meetings as needed and written reports. The reports will include the following as well as others that may be requested related to the work performed by the selected Vendor.

- Policy and Procedures Manuals – The selected Vendor will provide identified individuals with copies of all policy and procedure manuals utilized by the Vendor and related to the scope of work performed by the Vendor under this contract.
- Fiscal Reporting – The selected Vendor will provide the identified individuals with fiscal reports detailing:
 - Planned work performed
 - Planned hours expended and associated costs
 - Unplanned work performed that was not reviewed and approved by the identified individuals (this would be the result of emergency fixes)
 - Unplanned hours expended and associated costs
 - Unplanned work requested
- Status Reporting
- Needs for staffing augmentation
- Actual performance of team compared to performance metrics (see Section 2.6.4)

Please provide samples of fiscal and status reporting the Vendor has utilized in a previous, similar engagement.

2.4.7.2 Staffing Requirements, Responsibilities and Qualifications

The selected Vendor will be responsible for providing adequate staffing to satisfy the requirements of the RFP. While it is understood that the Vendor Manager will be responsible for all personnel employed by the selected Vendor, it also must be understood that all Vendor personnel will report directly or indirectly to the identified individuals. The selected Vendor shall allow the identified individuals to interview any Vendor personnel proposed to work under this contract. The identified individuals will have the option to approve or reject personnel based upon these interviews. At any time during the contract, if the identified individuals believe that a Vendor employee is not working at an

acceptable level, the identified individuals may direct the Vendor to replace this resource and the Vendor must comply.

Additionally, to comply with the HIPAA Privacy and Security Standards and with State Agency policies and procedures, all members of the selected Vendor's staff working under this contract will be required to take and pass State administered training on its security and privacy policies and procedures prior to having access to any systems maintained and supported under this contract.

Please provide the State with a proposed staffing plan including roles, responsibilities, experience level and qualifications, and the recommended number of persons per role the Vendor believes would be needed to support their service proposal. Please include sample resumes of current staff that would fill these positions. While the State recognizes that the actual staff resources may change from the time of the response to the beginning of the contract, the sample resumes should convey the appropriate experience level for each role.

Also, please acknowledge that the Vendor will comply with the requirement to have all staff complete the required training.

2.4.7.3 Performance Metrics

The selected vendor will work with the State to define performance metrics and will provide the State with periodic reporting regarding the Vendor's performance under these metrics.

The State reserves the right to evaluate the effectiveness of the contracted performance metrics and ask for changes as needed.

Please provide the State with examples of performance metrics and associated reporting the Vendor has used on previous efforts.

2.4.7.4 Transition Plan

The selected Vendor will be responsible for managing the transition of support for the identified systems from the current Vendor to the selected Vendor. These systems are critical to the services provided by FSSA and the selected Vendor must understand and accept the responsibility to ensure that there will be no periods of non-support during the transition.

Please provide a proposed high- level plan for transitioning maintenance and support from the current Vendor. Please include an estimated timeframe required for the transition and any assumptions made in preparing this plan.

2.4.7.5 Responsibilities of the Vendor

General responsibilities of the Vendor related to this contract shall include, but will not be limited to the following:

- The selected Vendor must provide the State with a single point of contact to attend regularly scheduled meetings, who has the ability within the selected Vendor's organization to use various avenues of escalation and problem resolution.
- For all persons employed or subcontracted by the selected Vendor, the Vendor must provide resumes including contact information, education and years of experience. The State reserves the right to verify at any time the education and experience of any person employed under this agreement. The State reserves the right to interview and accept or reject any person employed under this agreement (see Section 2.4.7.2).
- The selected Vendor shall ensure that their offices are staffed during the working hours of 7:00 AM to 5:30 PM (local time) Monday through Friday, except State holidays. Offsite staffing at virtual locations, with State approval, is acceptable.
- The selected Vendor shall ensure that arrangements are made to provide the contracted maintenance and support twenty-four (24) hours a day, seven (7) days a week as needed.
- The personnel employed by the selected Vendor under this contract will be required to track the hours worked in a State approved time tracking system.
- The selected Vendor shall acquire licenses or rights to all tools and software the selected Vendor deems necessary to provide Maintenance and Support for the applications and interfaces identified in section 2.4. The State, at its discretion, may choose to offset some of these costs by providing the selected Vendor access to State owned licenses or rights to these tools or software. These details will be finalized during the contract negotiations.

Please acknowledge the Vendor's acceptance of these responsibilities. Please refer to the Cost Proposal for the identification of tools and software that the Vendor deems necessary to provide Maintenance and Support for the identified applications and interfaces.

2.4.7.6 Responsibilities of the State

General responsibilities of the State related to this contract shall include, but will not be limited to the following:

- Subject to the State's security regulations, the State shall provide the selected Vendor with full access to the systems to be maintained.
- **At the State's discretion**, the State will provide adequate working space, including heat, light, ventilation, electrical current and outlets, for use by the **Vendor's selected key personnel**.
- **At the State's discretion**, the State will provide office furniture to include desks and chairs, and workstations to include computers and monitors for use by the **Vendor's selected key personnel**.

- At the State's discretion, the State will provide the selected Vendor with State owned licenses or rights to tools and software that the Vendor deems necessary to provide Maintenance and Support for the applications and interfaces identified in section 2.4.

2.5 COST PROPOSAL

All Respondents must utilize the Excel template found in Attachment F (Cost Proposal Response Template) when completing their cost proposal. A soft copy of the Cost Proposal in Excel format must be submitted as part of the Respondent's proposal on the CD-ROM. Failure to submit a Cost Proposal using the required Excel template could potentially disqualify a Respondent. In populating the template (Attachment F), please note that a Respondent may only provide information in cells shaded yellow. Cells shaded white or gray are instructional, while cells shaded green contain formulas driven by information provided by Respondents.

The Cost Proposal template is designed to obtain a sufficient amount of detail regarding a proposal's service costs as well as any additional software costs. All components of Respondents' proposed solutions are priced separately and automatically summed to produce a Total Proposal Cost. This Total Proposal Cost will be considered a Not To Exceed Amount.

The State has established the practice of measuring proposals against a baseline cost. The baseline cost for the services required within this RFP is \$145,000 per month (\$3,480,000 over two years) during the contract term. Refer to Section 3 for further details regarding the State's process for using the baseline cost.

In the tab labeled "Maintenance and Support Costs", the following information is required:

- Identification of all Roles the Respondent expects are needed to provide the services identified for the duration of the contract
- The hourly rate at which each role will be billed
- The estimated hours per month each role will be expected to work
- Estimated overtime hours per month for those roles the Respondent expects may be required to work beyond the standard number of monthly hours to assist with emergency repairs (these hours, if used, will be billed at the standard hourly rate)
- Identification of all Roles the Respondent expects are needed to provide one-time services at some point during the contract
- The estimated duration of these one-time services
- A description of these services
- The one-time cost for these services

The Service Cost Total will populate automatically based on the Base Services Cost, Reserve Services Cost and the One-time Services Cost. The Service Cost Total will be the cost figure upon which a Respondent's proposal is accessed and will be compared to the Baseline Cost for scoring (see Section 3.2).

In the tab labeled “Software Licensing” the Respondent shall be required to provide the following information:

- Software Components required for the proposed Maintenance and Support
- Estimated Quantity of each software component
- One-Time Unit Cost of each software component
- Annual Recurring Cost (per Unit) which will be incurred in the subsequent year(s) of the contract
- If applicable, a description of Unique Software Costs that are not based upon a one-time or annual licensing structure

The Service Cost will populate automatically based on One-Time License Cost, Annual Recurring License Cost and Unique Cost.

2.6 INDIANA ECONOMIC IMPACT

All companies desiring to do business with state agencies must complete an “Indiana Economic Impact” form (Attachment C). The collection and recognition of the information collected with the Indiana Economic Impact form places a strong emphasis on the economic impact a project will have on Indiana and its residents regardless of where a business is located. The collection of this information does not restrict any company or firm from doing business with the state.

2.7 BUY INDIANA INITIATIVE/INDIANA COMPANY

It is the Respondent’s responsibility to confirm its Buy Indiana status for this portion of the process. If a Respondent has previously registered its business with IDOA, go to <http://www.in.gov/idoa/2464.htm> and click on the link to update this registration. Click the tab titled Buy Indiana. Select the appropriate category for your business. Respondents may only select one category. Certify this selection by clicking the check box next to the certification paragraph. Once this is complete, save your selection and exit your account.

Respondents that have not previously registered with IDOA must go to <http://www.in.gov/idoa/2464.htm> and click on the link to register. During the registration process, follow the steps outlined in the paragraph above to certify your business’ status. The registration process should be complete at the time of proposal submission.

Defining an Indiana Business:

“Indiana business” refers to any of the following:

- (1) A business whose principal place of business is located in Indiana.
- (2) A business that pays a majority of its payroll (in dollar volume) to residents of Indiana.
- (3) A business that employs Indiana residents as a majority of its employees.

Respondents claiming this status must indicate which of the provisions above qualifies them as an Indiana business. They must also fully complete the Indiana Economic Impact Form (Attachment C) and include it with their response.

The following is the policy concerning items 4 & 5 described below. Appropriate documentation must be provided with your proposal response supporting either claim

made below:

- (4) A business that makes significant capital investments in Indiana.
- (5) A business that has a substantial positive economic impact on Indiana.

Substantial Capital Investment:

Any company that can demonstrate a minimum capital investment of \$5 million or more in plant and/or equipment or annual lease payments of \$2.5 million or more shall qualify as an Indiana business under category #4. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

Substantial Indiana Economic Impact:

Any company that is in the top 500 companies (adjusted) for one of the following categories: number of employees (DWD), unemployment taxes (DWD), payroll withholding taxes (DOR), or Corporate Income Taxes (DOR); it shall qualify as an Indiana business under category #5. If a Respondent needs assistance in determining if its business qualifies under this criterion, please send an email inquiry to buyindianainvest@idoa.in.gov and you will receive a response within forty-eight (48) hours. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

SECTION THREE PROPOSAL EVALUATION

3.1 PROPOSAL EVALUATION PROCEDURE

The State has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2. The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for adherence to requirements on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration.
- 3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point score has been established for each category.
- 3.1.3 If technical proposals are close to equal, greater weight may be given to price.
- 3.1.4 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and FSSA for further action, such as contract negotiations. If, however, IDOA and FSSA decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, IDOA may begin contract preparation with the next qualified Respondent or determine that no such alternate proposal exists.

3.2 EVALUATION CRITERIA

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the RFP in a cost-effective manner. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The points associated with each category are indicated following the category name (total maximum points = 105). Negative points may be assigned in the cost score. Additionally, there is an opportunity for a bonus of five points if certain criteria are met. For further information, please reference Section 3.2.3 below. If any one or more of the listed criteria on which the responses to this RFP will be evaluated are found to be inconsistent or incompatible with applicable federal laws, regulations or policies, the specific criterion or criteria will be disregarded and the responses will be evaluated and scored without taking into account such criterion or criteria.

Table 5. Summary of Evaluation Criteria:

Criteria	Points
1. Adherence to Mandatory Requirements	Pass/Fail
2. Management Assessment/Quality (Business and Technical Proposal)	25 points
3. Cost (Cost Proposal)	-30 to +30 available points (5 bonus points are available if certain criteria are met)
4. Indiana Economic Impact	15
5. Buy Indiana	10
6. Minority (10) and Women Business (10) Subcontractor Commitment	20
Total	100 (105 if bonus awarded)

All proposals will be evaluated using the following approach.

Step 1

In this step proposals will be evaluated only against Criteria 1 to ensure that they adhere to Mandatory Requirements. Any proposals not meeting the Mandatory Requirements will be disqualified.

Step 2

The proposals that meet the Mandatory Requirements will then be scored based on Criteria 2 and 3 ONLY. This scoring will have a maximum possible score of 55 points with a potential of 5 bonus points if certain criteria are met. All proposals will be ranked on the basis of their combined scores for Criteria 2 and 3 ONLY. This ranking will be used to create a “short list”. Any proposal not making the “short list” will not be considered for any further evaluation.

Step 2 may include one or more rounds of proposal discussions focused on cost and other proposal elements.

Step 3

The short-listed proposals will then be evaluated based on all the entire evaluation criteria outlined in the table above.

If the State conducts additional rounds of discussions and a BAFO round which lead to changes in either the technical or cost proposal for the short listed Respondents, their scores will be recomputed.

The section below describes the different evaluation criteria.

3.2.1 Adherence to Requirements – Pass/Fail

Respondents passing this category move to Phase 2 and proposal is evaluated for Management Assessment/Quality and Price.

The following 2 categories cannot exceed 55 points.

3.2.2 Management Assessment/Quality - **25** points

3.2.3 Price – **30** points available

Price will be measured against the State's baseline cost for this scope of work. The cost that the State is currently paying or its best estimate will constitute the baseline cost. Cost scoring points will be assigned as follows:

- Respondents who meet the State's current baseline cost will receive zero (0) cost points.
- Respondents who propose a decrease to the State's current costs will receive positive points at the rate of 3 points per 1% decrease to the State's current baseline cost.
- Respondents who propose an increase to the State's current cost will receive negative points at the rate of -3 points per 1% increase to the State's current baseline cost.
- Respondents who propose a 10% decrease to the State's current baseline cost will receive all of the available cost points (30 points).
- If multiple Respondents decrease costs below 10% of the current baseline, an additional 5 points will be added to the Respondent proposing the lowest cost to the State.

3.2.4 Indiana Economic Impact (15 points)

See Section 2.6 for additional information.

The total number of full time equivalent (FTE – please see Section 1.2 for a definition of FTE's) Indiana resident employees for the Respondent's proposal (prime contractor and subcontractors) will be used to evaluate the Respondent's Indiana Economic Impact. Points will be awarded based on a graduated scale. The Respondent with the most Indiana FTEs will be awarded 15 points. Points will then be awarded to the remaining Respondents proportionately.

3.2.5 Buy Indiana Initiative – 10 points

Respondents qualifying as an Indiana Company as defined in Section 2.7 will receive 10 points in this category.

3.2.6 Minority (10 points) & Women's Business (10 points) Subcontractor Commitment - (20 points).

The following formula will be used to determine points to be awarded:

The commitment factor for each proposal will be calculated by multiplying the commitment percentage by one hundred. The RFP score ratio will be

determined by dividing the maximum allowable points by the highest commitment factor. The proposal with the highest commitment factor will be given the maximum allowable points. The points awarded to the other proposals will be calculated by multiplying the score ratio by the proposed commitment factor.

Commitment percentage * 100 = commitment factor

Maximum allowable points/highest commitment factor = score ratio

Commitment factor * score ratio = points awarded

The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposal(s) offer the best means of servicing the interests of the State. The exercise of this discretion will be final.